



# ***Navy International Programs Office***

## **Case Execution Performance Tool (CEPT)**

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# **CEPT: The Answer to Our Case Management Challenges**

## **➤ Decentralized case execution**

- CEPT provides a centralized communication venue for multiple people, in different locations, who help manage a case**

## **➤ Resource Availability**

- CEPT points out multiple problems with data from multiple systems (e.g. MISIL, STARS, DIFS) in a single place**

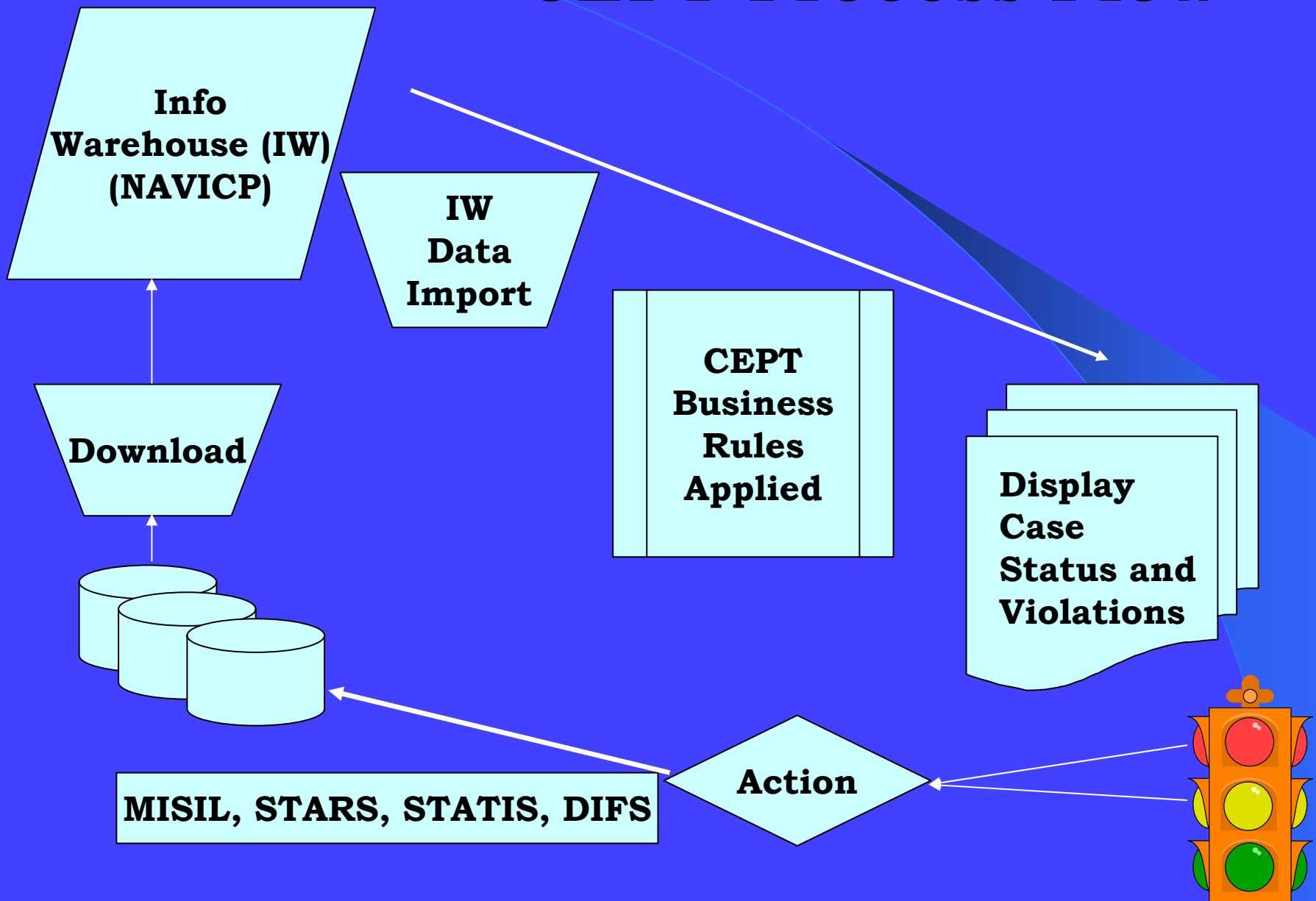
## **➤ Legacy systems in “brown out”**

- CEPT is a web-based tool that assesses basic business rules based on legacy system data**

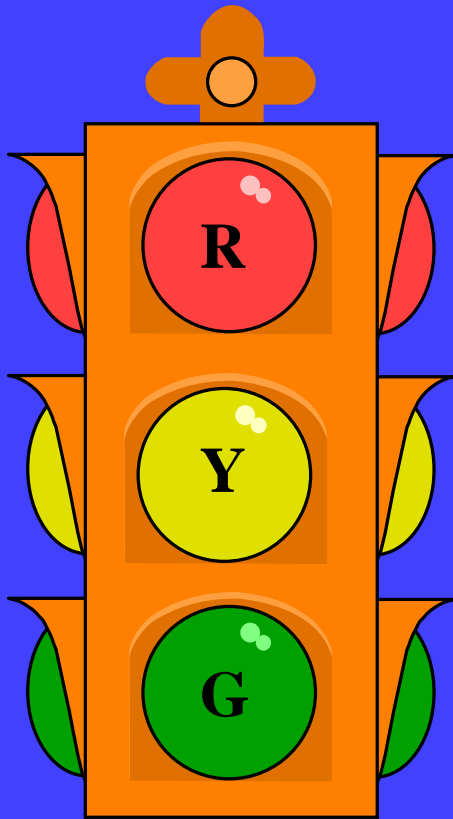
# CEPT: The Answer to Our Case Management Challenges (cont.)

- **Routine “health assessment”**
  - *Color Indicator* – green, yellow and red used to assess health of case
  - *Data Integrity* – update of official accounting systems with “shoebox” (case manager’s) records
  - *Early Identification and Resolution of case problems*
- **Conformance with OUSD/DSCA direction to perform annual case and payment schedule reviews**
- **More timely closure**

# CEPT Process Flow



# What the Colors Mean



**B**

**Immediate action is required**

**Area requiring attention for  
probable action**

**No Rule Violations**

**Special Interest Designator**

# 3 Business Rule Sets

**Financial Performance** – reflect effectiveness of financial management processes. Primarily at *case* level, but some *line* level.

**Case Performance** – logistics and other case performance (other than financial).

**Closure Performance** – Since the emphasis of the tool is on execution, not all closure rule violations will make the case turn color. Some will make the case yellow, others will make the *tab* yellow.

*Note: A complete set of rules can be downloaded and printed from the opening screen in CEPT.*

# CEPT Business Rules

## 27 Rules

### Category

### Type

**Red** – Critical; require immediate action

**Yellow** – Significant; require attention; probable action

13 Financial Rules

7 Case Performance Rules

7 Closure Rules

6 **Red**

7 **Yellow**

3 **Red**

4 **Yellow**

7 **Yellow**

# Financial Business Rules

- Financially Troubled Cases (FTC) ●
  - Overcommitted, Overobligated, Overexpended
- Adverse Financial Condition (AFC) ●
  - Expenditures exceed Gross Obligations
- NCV Exceeded Due to CAS, LSC or SCML/Royalty Costs ●
- Aged Problem Disbursements ● ●
  - DOD Policy requires resolution within 120 days
  - Yellow at 90 days; Red at 120 days
- Uncommitted Authorizations Exceeded (GLA 3210 in deficit) ●
- PDLI Directed Funds Exceeded (GLA 3219 in deficit) ●
- Actual CAS Exceeds Estimated CAS by greater of \$200 or 10% ●
- Actual LSC Exceeds Estimated LSC by greater of \$200 or 10% ●
- Gross Obligations Exceed OA Issued at Case Line Level by 10% ●
- DIFS Delvrd Acsrls Exceeds Ordrrd Acsrls by \$200 or 10% ●



# Case Performance Business Rules

- Annual Case Review, to Include Payment Schedule Review, is Not Complete
  - Annual case review is required until case is final closed
  - Annual payment schedule review is required until case is supply/services complete
- RSN Delivery Schedule Has Past
  - Includes Major Item & Non-Major Item Case Lines where the Delivery Commitment Date has passed
  - Major Items: Yellow at 1 day; Red at 30 days
  - Non-major items: Yellow at 90 days; Red at 180 days
- SDRs Aged Over One Year on Case Not Yet SSC
- Estimated Case Closure Date Passed on Case Not Yet SSC

# Case Closure Business Rules

- Open SDR on SSC Case (Tab only)
- ACC Case: SSC Date Greater than 2 Years & Not Submitted for Closure
- Non-ACC Case: SSC Date Greater than 4 Years & Not Submitted for Closure (Tab only)
- Case Interim Closed for 2 Years or More & No Change to ULO Balance for 2 Years or More (Tab only)
- MISIL Case Pending Closure & Not Forwarded by CAO within 30 Days
  - Aged S1 case status
- STARS/STATIS Case Pending Closure & Forwarded by ASN within 30 Days
  - Aged S2 case status
- Case Submitted to DFAS-DE for Closure & Not Closed within 180 Days
  - Aged 3S case status (Tab only)

# **Use of CEPT to Track Completion of Annual Case Review**

- **Automated case review implemented in Sep 06**
  - **Modeled after DSCA FMS Case Reconciliation and Review matrix**
  - **Automatic update of case review date in CEPT**
  - **Use of Laserfiche to fulfill FMR requirement of maintaining record of review in case folder**
    - **Electronically signed checklist is filed**

# Navy-Wide CEPT Goals

Establish Acceptable/Unacceptable Ranges

- Example of 2 Business Rules -

## *Gross commitments exceed OA*

FP-OCO	<1%	Green
	1-2%	Yellow
(All cases not submitted for closure)	>2%	Red

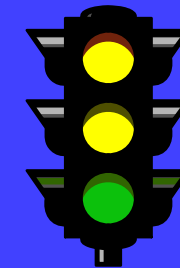


Nr. Of Cases:

22 Cases

## *Gross obligations exceed OA*

FP-OOB	<1%	Green
	1-2%	Yellow
(All cases in CEPT)	>2%	Red



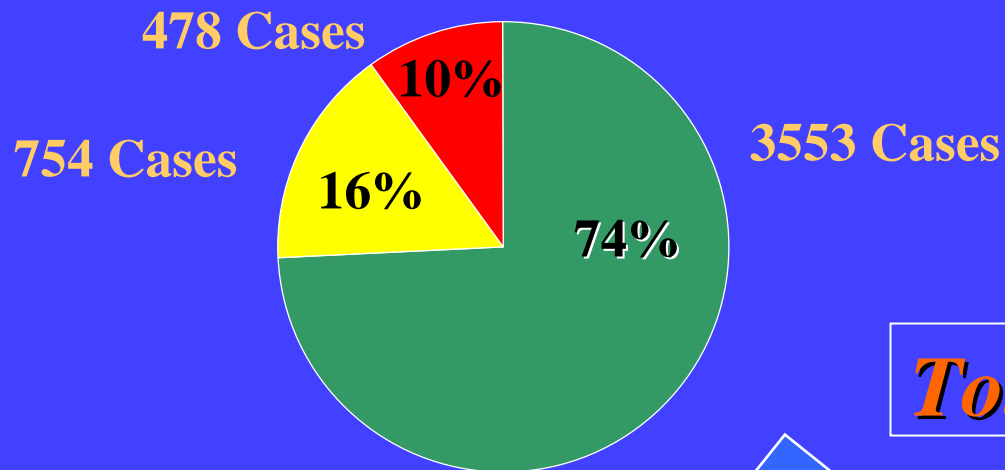
Nr. Of Cases:

18 Cases

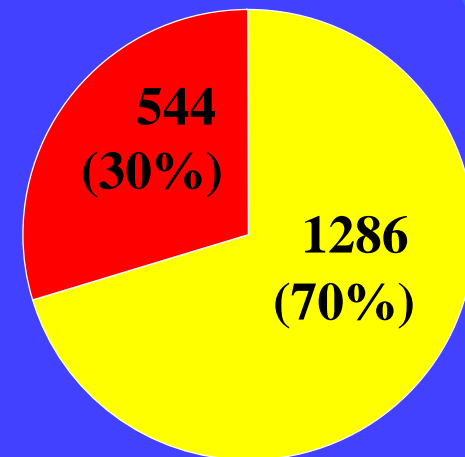
# *Navy CEPT Portfolio*

***Total Cases 4785***

**DEC 2006**



***Total Violations 1830***



# *All CAOs – Top **RED** Business Rule Violations*

**Dec 06**

**Total **Red** Violations - 544**

**Dec Nov Is This Good?**

(CP-DS3) Non Maj Item RSN Delivery Schedule >180 days past	370	385	
(CP-ACR) Annual Case Review Not Complete	42	42	●
(FP-NCV) Net Case Value Exceeded Due to CAS<LSC or Royalty	33	33	
(FP-OCO) Overcommitted	22	21	●
(CP-DS1 Maj Item RSN Delivery Schedule > 30 days past	20		●

**90%  
(487)**


**5 out of  
9 rules**

# *All CAOs - Top **YELLOW** Business Rule Violations*

**Dec 06**

**Total **Yellow** Violations - 1286**

**Dec Nov Is This  
Good?**

<b>(CC-ACC) ACC case MSC &gt; 2 years</b>	<b>230</b>	<b>236</b>	
<b>(FP-ACS) DIFS delivered Accessorials exceed DIFS ordered Accessorials</b>	<b>222</b>	<b>206</b>	
<b>(FP-LSC) Actual LSC exceeds estimated LSC</b>	<b>174</b>	<b>174</b>	
<b>(FP-OAE) Gross obligations exceed OA at line level</b>	<b>157</b>	<b>159</b>	
<b>(FP-CAS) Actual CAS exceeds estimated CAS</b>	<b>155</b>	<b>157</b>	
<b>(CP-SDR) Open SDR Over 1 Year Old</b>	<b>95</b>	<b>98</b>	

**81%  
(1033)  
6 out of  
17 rules**

# Benefits

- **Emphasizes Case Manager accountability**
- **Promotes Navy Case Mgmt “Community” and “Communication”**
- **Helps focus limited resources on problem areas**
- **Shows our commitment to ensuring cases stay on track – logistically and financially**
- **Improve data integrity in Navy accounting systems**
- **Contributes to the development of case execution performance measures**



# Opening CEPT screen – Click circled icon for CEPT questions

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**SDR** **Requisitions** **JTav** **Information** **Case Mgmt Tools** **ROR** **Financial**


CFMS CEPT LaserFiche Metrics CRR


**NAVY INTERNATIONAL PROGRAMS OFFICE**  
**CASE EXECUTION PERFORMANCE TOOL (CEPT)**

*Data updated as of 12/6/2006*

Currency of Data

 **Open CEPT**

 **Search**

 **Quit CEPT**

Open Case Status Chart	Latest CEPT News 04/27/2004	<b>Forward Problems, Comments or Questions</b>
Trend Chart	Business Rules	Case Review And Reconciliation Matrix
Checklist Preparation Guidelines	FMS Case Review Checklist	Frequently Asked Questions and CEPT Implementation Instruction

Start | Internet | 11:05

# CEPT Case Summary Screen (top half of page)

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Address [https://fmsweb1.salts.navy.mil/ofactx/CEPT\\_SAFR\\_NAVICP/CaseData.asp](https://fmsweb1.salts.navy.mil/ofactx/CEPT_SAFR_NAVICP/CaseData.asp) Go Links

## CASE EXECUTION PERFORMANCE TOOL (CEPT)

Search For Case:

Country:  Description: MAINTENANCE ON LOCE WORKSTATIONS

Case: GAA Status Code: X Manager:

CSD: P Blanket Order: N Implemented: 1/2/1998

CAO: NAVICP ACC IND: N Date Est Close: 12/31/2003

Actg System: MIS Closure Code:  Date Mat Serv Compl:

View Remarks New Remark(s): ☐

Annual Case Review  
(To include Payment Schedule Review)  
5/2/2006

Case Status:  
Overall: Yellow

Case Summary Financial Performance (FP) Case Performance (CP) Closure Search

Total Case Value (TCV):	\$784,088.00	Pending Total Case Value:	\$0.00
Total Admin/Accessorial Value :	\$22,838.00	Latest Amend/Mod/Notice:	A02
Net Case Value (NCV):	\$761,250.00	Pending Net Case Value :	\$0.00
Estimated CAS:	\$0.00	Actual CAS Cost :	\$10,336.45
Estimated LSC:	\$0.00	Actual LSC Cost :	\$0.00
Estimated Royalty:	\$0.00	Actual Royalty Cost :	\$0.00
Adjusted Net Case Value (ANCV):	\$761,250.00	Pending Adjusted Net Case Value :	\$0.00
OA Received :	\$761,250.00		
Remaining Program Value :	\$0.00		
Uncommitted Balance:	\$72,150.00		

Start | Internet | 11:15

# CEPT Case Summary screen (bottom half of page)

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<b>Gross Commitments:</b>	\$689,100.00	<b>% of ANCV Committed :</b>	91.00
<b>Gross Obligations:</b>	\$689,100.00	<b>% of Commitments Obligated :</b>	100.00
<b>Expenditures:</b>	\$689,100.00	<b>% of Obligations Expended :</b>	100.00
<b>DIFS Ordered Articles/Services Cost:</b>	\$761,250.00	<b>% of ANCV Obligated :</b>	91.00
<b>DIFS Delivered Articles/Services Cost:</b>	\$699,436.45	<b>% of ANCV Expended :</b>	91.00
<b>DIFS Ordered Accessorial Cost:</b>	\$0.00	<b>% of OA Reserved :</b>	0.00
<b>DIFS Delivered Accessorial Cost:</b>	\$0.00		
<b>DIFS Prog Pay Disbursements Undelivered:</b>	\$0.00		
<b>DIFS Total Obligations:</b>	\$689,100.00		
<b>DIFS Articles/Services Disbursed:</b>	\$689,100.00		
<b>DIFS Total Collections:</b>	\$784,088.00		

**(MISIL Cases Only)**

<b>Shipped:</b>	5 Count	100 %
<b>Unshipped:</b>	0 Count	0 %

***(Bold/Italics-CEPT Phase 3 Development)***

RSN Information Case History Help Close Laserfiche E-Suite

Start | Internet | 11:22

# CEPT Financial Performance rules screen (top half of page)

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**SDR** **Requisitions** **JTav** **Information** **Case Mgmt Tools** **ROR** **Financial**

CFMS CEPT LaserFiche Metrics CRR

## CASE EXECUTION PERFORMANCE TOOL (CEPT)

Search For Case:

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Case: GAA Status Code: X Manager:

CSD: P Blanket Order: N Implemented: 1/2/1998

CAO: NAVICP ACC IND: N Date Est Close: 12/31/2003

Actg System: MIS Closure Code:  Date Mat Serv Compl:

[View Remarks](#) ☐ New Remark(s):

**Annual Case Review**  
(To include Payment Schedule Review)  
5/2/2006

**Case Status:**  
Overall: **Yellow**

Case Summary **Financial Performance (FP)** Case Performance (CP) Closure Search

### TABULATION OF VIOLATION OF BUSINESS RULES

Overcommitted:	<input type="checkbox"/>	Amt Overcomm:	<input type="text"/>	Date Overcomm:	<input type="text"/>
Overobligated:	<input type="checkbox"/>	Amt Overobl:	<input type="text"/>	Date Overobl:	<input type="text"/>

Done Internet

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# CEPT Financial Performance rules screen (bottom half of page)

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<b>Overexpend:</b>	<input type="checkbox"/>	<b>Amt Overexp:</b>	<input type="text"/>	<b>Date Overexp:</b>	<input type="text"/>
<b>Expenditures Exceed Gross Obligations:</b>	<input type="checkbox"/>	<b>Amt Exp Exc Obs:</b>	<input type="text"/>	<b>Date Exp Exc Obs:</b>	<input type="text"/>
<b>Aged Problem Disbursements over 120 days:</b>	<input type="checkbox"/>	<b>Fin Excep Count-Red:</b>	<input type="text"/>		
<b>Net Case Value Exceeded Due to CAS,LSC or Royalty Cost:</b>	<input type="checkbox"/>	<b>Fin Excep Count-</b>	<input type="text"/>		
<b>Aged Problem Disbursements 90-120 days:</b>	<input type="checkbox"/>	<b>Yellow:</b>	<input type="text"/>		
<b>Uncommitted Authorizations Exceeded:</b>	<input type="checkbox"/>	<b>GLA 3210:</b>	<input type="text"/>		
<b>PDLI Directed Funds Exceeded:</b>	<input type="checkbox"/>	<b>GLA 3219:</b>	<input type="text"/>		
<b>Actual CAS Exceeds Estimated CAS by Greater of \$200 or 10%:</b>	<input checked="" type="checkbox"/>	<b>Excess CAS Cost:</b>	<input type="text" value="\$10,336.45"/>		
<b>Actual LSC Exceeds Estimated LSC by Greater of \$200 or 10%:</b>	<input type="checkbox"/>	<b>Excess Liq LSC Cost:</b>	<input type="text"/>		
<b>Gross Obligations Exceed OA Issued at the RSN (Case Line) Level:</b>	<input type="checkbox"/>	<b>Amt Exceed OA:</b>	<input type="text"/>		
<b>DIFS Delivered Accessorials Exceed DIFS Ordered Accessorials By 10%:</b>	<input type="checkbox"/>				

**Financial Performance(FP) Remark(s):** [Add New FP](#)

Date	Comments
5/7/2002	Case review indicated that a PS revision was not required at this time

[Information](#)

[RSN Information](#) [Case History](#) [Help](#) [Close](#) [Laserfiche](#) [E-Suite](#)

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# CEPT Case (Logistical) Performance rules screen

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Actg System: MIS Closure Code:  Date Mat Serv Compl:

View Remarks New Remark(s): ☐

Annual Case Review  
(To include Payment Schedule Review)  
5/2/2006

Case Status:  
Overall: Yellow

Case Summary Financial Performance (FP) **Case Performance (CP)** Closure Search

### TABULATION OF VIOLATION OF BUSINESS RULES

Annual Case Review (To include Payment Schedule Review):	<input type="checkbox"/>
RSN Delivery Schedules Past-(Major Item Case Line) - 180 days past:	<input type="checkbox"/>
RSN Delivery Schedules Past-(Non-Major Item Case Line) - 180 days past:	<input type="checkbox"/>
RSN Delivery Schedules Past-(Major Item Case Line) - 90 days past:	<input type="checkbox"/>
RSN Delivery Schedules Past-(Non-Major Item Case Line) - 90 days past:	<input type="checkbox"/>
SDRs Over Year Old:	<input type="checkbox"/>
Estimated Case Closure Date(ECCD)has Passed on a Case Not Yet Supply Services Complete:	<input type="checkbox"/>

Counts:

Red:

Red:

Yellow:

Yellow:

SDR:

Add New Case Perf Remarks

Start | Internet | 13:39



# CEPT Case Closure rules screen

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## CASE EXECUTION PERFORMANCE TOOL (CEPT)

Search For Case:

Country:  Description: MAINTENANCE ON LOCE WORKSTATIONS

Case: GAA Status Code: X Manager:

CSD: P Blanket Order: N Implemented: 1/2/1998

CAO: NAVICP ACC IND: N Date Est Close: 12/31/2003

Actg System: MIS Closure Code:  Date Mat Serv Compl:

View Remarks New Remark(s): ☐

Annual Case Review  
(To include Payment Schedule Review)  
5/2/2006

Case Status:  
Overall: Yellow

Case Summary Financial Performance (FP) Case Performance (CP) Closure Search

### TABULATION OF VIOLATION OF BUSINESS RULES

Open SDR on MSC Case:	<input type="checkbox"/>
ACC Case: MSC date greater than 2 years & not submitted for closure:	<input type="checkbox"/>
Non-ACC Case: MSC date greater than 4 years & not submitted for closure:	<input type="checkbox"/>
Case interim closed for 2 years & no change to ULO balance:	<input type="checkbox"/>
MISIL case pending closure & not forwarded by CAO within 30 days:	<input type="checkbox"/>
Case pending closure & not forwarded by ASN within 30 days:	<input type="checkbox"/>
Case submitted to DFAS-DE for closure & not closed within 180:	<input type="checkbox"/>

Add New Closure Remarks

Done Internet

Start Inbox - Micr... C:\Documen... ICP - Micro... Microsoft Of... 13:42

# CEPT Search and Ad Hoc Reports screen

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## Search and Ad Hoc Menu

Select Criteria:

Country	CSD	Case		
<input type="text"/>	<input type="text"/>	<input type="text"/>		
Color Status	CAO	Acctg Sys	Case Mgr Name	Special Interest
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Case Control Status	CEPT Case Status			
<input type="text"/>	<input type="text"/>			
Business Rules				
<input checked="" type="radio"/> and <input type="radio"/> or				
<div>FP-OCO:Overcommitted FP-OOB:Overobligated FP-OEX:Overexpended</div>				

Search Reports Help Clear Search Close E-Suite

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